

DATE: April 29, 2005

TO: DIRECTIVES POINTS OF CONTACT

FROM: BRIAN D. COSTLOW, ACTING DIRECTOR
OFFICE OF MANAGEMENT COMMUNICATIONS, ME-43

SUBJECT: REDLINE/STRIKEOUT OF DOE O 243.X *Records Management Program*

In a December 3, 2002, memorandum entitled *Improvements to the Directives Process*, the Director of the Office of Management, Budget and Evaluation eliminated the final Field Management Council review of draft Directives, and directed the posting of a redline/strikeout version of the Directive to RevCom subsequent to the resolution of all comments. This will allow interested parties to see the cumulative effect of changes produced during the RevCom review.

Draft DOE O 243.X was coordinated in RevCom beginning in March 2005. The order writer has responded to all issues and incorporated those comments he accepted into the document. In accordance with the new Directives procedures, a redline/strikeout of the Order has been posted to RevCom for your review. Please go to URL: <http://www.revcom.doe.gov>.

Reviewing Instructions:

1. You have 10 days to review this document to verify that your comments have been successfully incorporated into the directive.
2. **Only** comments with specific objections to the changes in the Directive will be addressed.
3. **THIS IS NOT AN OPPORTUNITY TO SUBMIT NEW COMMENTS.**
4. After you have reviewed the redline/strikeout, please follow the case below that corresponds to your situation:

If you:	Then:
submitted a major comment and agree with the incorporation of your comments	go into RevCom and concur on the proposed resolution(s) by May 13, 2005 .
submitted a major comment and do not agree with the incorporation of your comments	go into RevCom and non-concur on the proposed resolution(s) by May 13, 2005 .
did not comment, but the incorporation of others' comments may have an adverse impact on your organization's mission	submit your specific concerns via email to OPI Sharon Evelin, IM-11, 301-903-3455, internet address: Sharon.evelin@hq.doe.gov and to Virginia Bitler, ME-43, 202-586-1619, internet address: Virginia.bitler@hq.doe.gov by May 13, 2005 .
did not comment, and are still satisfied with the directive	no action is necessary

U.S. Department of Energy
Washington, D.C.

ORDER

DRAFT
DOE O 243.X

Approved: XX-XX-05
Review: XX-XX-07
Expires: XX-XX-09

SUBJECT: RECORDS MANAGEMENT PROGRAM

1. OBJECTIVES.

- a. To set forth requirements and responsibilities for implementing and maintaining a cost-effective records management program throughout the Department of Energy (DOE).
- b. To provide for—
 - (1) ~~A~~awareness that records management is a part of the job of every DOE employee and contractor; ~~(D~~documentation of ~~the~~DOE activities ~~of the~~ DOE is essential to ensuring its performance and accomplishments can be preserved and made available to the citizens of the United States and the Department's staff);;
 - (2) adequate and proper documentation of DOE activities, organization, functions, policies, decisions, procedures, and essential transactions;
 - (3) maintenance and use of records supporting DOE activities;
 - (4) proper records disposition; and
 - (5) economy and efficiency in the execution of the DOE Records Management Program.
- c. To comply with the Federal Records Act ~~of 1984~~, as amended, ~~and other legislation as listed in the references.~~
- d. To protect the legal and financial rights of the Government and individuals directly affected by Government activities.
- e. To preserve historical information, thereby enabling DOE and DOE contractors and their successors to retrieve information needed to make informed decisions.

2. CANCELLATIONS. None.

3. APPLICABILITY.

- a. ~~Primary DOE Elements Organizations, Including National Nuclear Security Administration (NNSA) Organizations.~~ Except for the exclusions in paragraph 3c, this Order applies to all ~~Primary DOE Organizations elements.~~ (See Attachment 1 for a complete list of ~~Primary DOE Organizations elements.~~) This

Order automatically applies to ~~Primary DOE Organizations elements~~ created after it is issued. ~~that must implement DOE directives.~~

The ~~National Nuclear Security Administration (NNSA) Administrator of NNSA~~ shall assure that NNSA employees and contractors comply with their respective responsibilities under this Order.

- b. ~~DOE Site/Facility Management Contractors.~~ Except for the exclusions in paragraph 3c, the CRD (Attachment 2) sets forth requirements to be applied to contractors ~~participating in the review of DOE draft directives~~ that create, receive, use, maintain, disseminate, and/or dispose of DOE records in connection with the performance of DOE-funded tasks or activities. ~~Except for the exclusions in paragraph 3c, this Order applies to the management of all DOE records, including those created, received, used, maintained, disseminated, and/or dispositioned by contractors pursuant to their contracts.~~
- ~~(1) The Contractor Requirements Document (CRD), Attachment 2, sets forth requirements of this Order that will apply to site/facility management contractors. Contractor compliance with the CRD will be required to the extent set forth in a contract. Contractors must continue to comply with the requirements of canceled Orders referenced in contracts until the contracts are modified to delete reference to the canceled Orders.~~
 - ~~(2) The CRD must be included in site/facility management contracts that may involve the receipt, creation, use, maintenance, dissemination and/or disposition of DOE records.~~
 - ~~(3) The CRD does not automatically apply to other than site/facility management contracts. Any application of any requirements of the CRD to other than site/facility management contracts will be communicated by issuance in the Department of Energy Acquisition Regulation (DEAR) or through the regulatory process.~~
 - ~~(4) The office identified in the responsibilities paragraph is responsible for notifying the contracting officer of which site/facility management contracts are affected. Once notified, the contracting officer is responsible for incorporating the CRD into the laws, regulations, and DOE directives clause of each affected site/facility management contract.~~
 - ~~(5) As the laws, regulations, and DOE directives clause of a site/facility management contract states, regardless of the performer of the work, the site/facility management contractor with the CRD incorporated into its contract is responsible for compliance with the requirements of the CRD.~~
 - ~~(a) An affected site/facility management contractor is responsible for flowing down the requirements of the CRD to subcontractors at~~

~~any tier to the extent necessary to ensure the site/facility management contractor's compliance with the requirements.~~

~~(b) The contractor must not flow down requirements to subcontractors unnecessarily or imprudently. That is, the contractor will—~~

~~1 ensure that it and its subcontractors comply with the requirements of the CRD to the extent necessary to ensure the contractor's compliance and~~

~~2 only incur costs that would be incurred by a prudent person in the conduct of competitive business.~~

- c. Director, Naval Nuclear Propulsion Program. In accordance with the responsibilities and authorities assigned by Executive Order 12344 [statutorily prescribed by 42 United States Code (U.S.C.) 7158, note] and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, the Director will implement and oversee all practices pertaining to this DOE Order for activities under the Director's cognizance.

4. REQUIREMENTS. ~~Records management is a part of the job of every DOE employee and contractor. Documentation of the activities of the Department is essential to ensuring its performance and accomplishments can be preserved and made available to the citizens of the United States and the Department's staff.~~ The following requirements must be met to ensure a DOE records management program that meets the objectives of this Order.

- a. Implement a records management program in conformance with the requirements for managing records in all formats, ~~including early capture and control throughout their life cycles., including: electronic.~~
- (1) Electronically formatted records will be maintained in an approved electronic records management application meeting the requirements of DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000.
 - (2) E-mail records will be managed along with their metadata, including a ~~listing of the recipients and time of receipt, if available, or be printed and retained as paper files.~~
 - (3) Electronic systems, such as instant messaging, that are not regularly backed up and controlled should not be used for conducting official Departmental business.

- (4) Until such time as an electronic records management system is available and implemented, electronic records ~~shall~~ will be printed and retained as paper files.
- b. Create and maintain current file plans/indexes that describe all categories of records created, received, and maintained by personnel in the course of their official duties.
- c. Preserve and disposition records in accordance with ~~National Archives and Records Administration (NARA)~~ approved records disposition schedules, as posted on the DOE Office of the Chief Information Officer (OCIO) Records Management Web pages (<http://cio.doe.gov/RBManagement/Records/records.html>).
- d. Preserve records placed under a destruction moratorium (freeze) as necessary to support audits, court cases, Freedom of Information Act FOIA appeals, or similar obligations.
- e. Request disposition authority from ~~the National Archives and Records Administration (NARA)~~, through the Departmental Records Officer, for all unscheduled records.
- f. Store records in a manner that meets the requirements of 36 CFR 1228, ~~Subpart Appendix K~~. Unscheduled records are not to be sent off-site for storage at either NARA or commercial facilities ~~Federal Records Centers for storage~~.
- g. Review Capital Planning and Investment Control (CPIC) proposals and information architecture plans for electronic records management provisions.
- h. Conduct internal evaluations of records management practices and programs, including the economy of the operation, at least every 3 years.
- i. Ensure ~~periodic~~ records management program training for all personnel with records management responsibilities ~~on a regular basis, as appropriate~~.
- j. Identify vital records and preserve them in a manner that ensures their currency and survivability in the event of a catastrophic event as identified in the DOE Emergency Operation Guide (~~see reference section 7-a~~).
- k. Ensure the site exit process includes a requirement for the transfer of custodianship of Federal records to another employee or a ~~Records Liaison Officer (RLO) management administrator~~ when employees leave on a permanent or long-term basis ~~to prevent inadvertent loss, destruction, or alienation of Federal records~~.

5. RESPONSIBILITIES.

a. The DOE Chief Information Officer, through the Departmental Records Officer.

- (1) Develops and administers DOE policies and directives related to the requirements of this Order and provides ~~assistance~~ oversight in their implementation.
- (2) Provides overall leadership and management of DOE records-management-related activities as required by Federal laws, Executive orders, regulations, DOE directives, and Departmentally established or accepted standards.
- (3) Serves as the DOE point of contact ~~with the National Archives and Records Administration~~ NARA, other Federal agencies, and the public sector for ~~issues related to the~~ records management program ~~issues~~.
- (4) ~~Ensures~~ Provides oversight to ensure implementation of ~~DOE~~ policies and procedures for the adequate and proper documentation of DOE activities and ~~the approval of records disposition schedules and practices~~ decisions.
- ~~(5) Ensures all DOE Records Management Program requirements, data, and metadata are kept current.~~
- ~~(6)~~(5) Identifies the responsibilities of the senior-level representatives for DOE Headquarters (HQ) program offices (and their associated field entities). ~~Provides training to these Program Records Officials (PROs).~~
- ~~(7)~~(6) Coordinates with the HQ ~~Program Records Officials (PROs)~~ in the implementation of the DOE Records Management Program throughout the DOE complex.
- (7) Establishes and chairs the Records Management Advisory Council.

b. Heads of Primary DOE Organizations.

- (1) Establish, implement, and sustain ~~a~~ records management programs ~~within their respective organizations for the Program's adequate and proper documentation of DOE mission-related programs~~ in accordance with the requirements of all Federal laws and regulations, Executive orders, DOE Orders and directives, accepted external standards, and authoritative issuances (~~i.e.g.~~, DOE numbered memos or NARA guidance).
- (2) Provides for ~~the~~ "adequate and proper documentation" of ~~the Program's~~ actions related to DOE mission-related programs ~~and~~ in accordance with recordkeeping requirements.

- (3) Provide staff resources to support records management processes within their respective organizations **by appointing the following staff members.**
 - (a) ~~A~~~~Each will appoint a~~ senior-level PRO having policy oversight and signature authority for HQ and any program field site records management programs. The PRO will approve records issues for the program and be the program liaison with the Departmental Records Officer.
 - (b) ~~At least one Each will designate a Records Liaison Officer (RLO)~~ to provide day-to-day administration of the organization's records management program and to act as liaison with the PRO.
 - (c) ~~A~~~~Each will designate a~~ Records Management Field Officer (RMFO) at each field site or office to implement the records management program at field and area offices in ~~his/her~~**their** respective organizations and to act as liaison with the HQ PRO. The RMFO will provide oversight and guidance to contractor records management programs.
 - (4) Provide names and contact information for the designated PROs, HQ RLOs, and RMFOs to the Departmental Records Officer.
 - (5) **Designate responsible individuals for identifying the contracts in which CRDs must be included and notifying the contracting officers of affected contracts.**
- c. Program Records Officials, Records Liaison Officers, and Records Management Field Officers. ~~The PRO is responsible for the following Program activities supporting the DOE Records Management Program. Except for the items marked "(PRO)," these activities may be delegated to the RLOs and the RMFOs for their individual offices and sites.~~
- (1) Coordinate the records management programs within their respective organizations to ensure compliance with this Order through the designated RLOs and RMFOs. **(PRO)**
 - (2) Identify the site/facility management contracts to which the CRD of this Order applies, and notify the contracting officials. **(PRO)**
 - (3) Work in partnership with DOE contracting officials and contractors to ensure records are managed and delivered properly in accordance with the contract. **(PRO)**
 - (4) Identify program-unique records and ensure that they are listed on a NARA-approved records disposition schedule.

- (5) Identify those records that are vital records, which require special handling to ensure their availability for use.
- (6) Ensure permanent records are preserved and temporary records are promptly retired, transferred, or destroyed according to NARA-approved records disposition schedules.
- (7) Ensure Federal records created or received in connection with major facilities management contracts are— **(PRO)**
 - (a) managed in accordance with this Order and with all other relevant Orders, laws, and regulations and
 - (b) delivered to DOE at intervals, as prescribed by the contracts, or upon termination of the contracts.
- (8) Identify new nonmajor facilities management contract procurements where some or all of the provisions of this Order apply. **(PRO)**
 - (a) Ensure appropriate records are identified as contract deliverables, including records pertaining to the environment, safety, and health; financial and technical records; and other specified records as appropriate to the contract scope.
 - (b) Ensure records identified as contract deliverables are handled in accordance with the requirements of this Order and other relevant Orders, laws, and regulations and delivered to DOE at appropriate intervals, per the contracts, or at the termination of the contracts.
- (9) Ensure all recordkeeping requirements are established and kept current.
- (10) Ensure all personnel with records management responsibilities receive appropriate records management training.
- (11) Ensure that DOE Records Management Program provisions **and standards** are included in the scope and planning for electronic information systems (e.g., the CPIC development and approval process).
- (12) Assess the records management practices in offices under their cognizance at least every 3 years.
- (13) Ensure that records are maintained cost effectively and that records storage facilities meet the requirements of 36 CFR 1228, Subpart K. **(PRO)**
- (14) Review and approve costs for the storage of Federal records including the invoices for records stored in the Federal Records Centers, leases for

commercial records storage, and requests for construction of onsite storage facilities. (PRO)

- (15) Ensure that departing Federal and contractor employees identify and transfer any records in their custody to program files or an appropriate custodian, ~~either the RLO or the person assuming the responsibility for the work.-~~

- (16) ~~Participate in the Records Management Advisory Council. (PRO)~~

d. Department of Energy Contracting Officials.

- (1) ~~Once notified by their respective PROs, designated organization official, the contracting officer is responsible for incorporating the CRD into the affected contracts as directed by the PROs/RMFOs/RLOs.~~

- ~~(1) Incorporate the CRD of this Order into the site/facility management contracts identified by RMFOs/RLOs.~~

- (2) Work in partnership with ~~PROes~~/RMFOs/RLOs to ensure the appropriate records are managed and delivered properly by contractors.

e. Chief Historian.

- (1) Assists in identifying, organizing, and preserving records of Secretarial Officers and their staffs.
- (2) Works with the Departmental Records Officer to ensure records, including archival holdings, photographs, maps, architectural/-engineering drawings, and other materials, are identified, organized, and preserved in support of DOE's historic records preservation program.
- (3) Works with the Departmental Records Officer to provide access to historically significant records throughout DOE.

f. Office of the General Counsel.

- (1) ~~Notifies~~ the Records Officer when a moratorium on records disposition is needed to support litigation or other legal matters.
- (2) Supports the submittal of DOE Records Disposition Schedules by reviewing them for legal retention ~~prior to~~ before submittal.

6. DEFINITIONS. See Attachment 3.

7. REFERENCES. The references listed below provide additional clarifications and/or requirements for the DOE Records Management Program.

- [illegible]

- i. Title 44 U.S.C., Chapter 33, “Disposal of Records,”
<http://uscode.house.gov/usecode-egi/fastweb.exe?getdoc+useview+t43t44+1757+25++%28%29%20%20AND%20%28%2844%29%20ADJ%20USC%29%3ACITE%20%20AND%20%28CHAPT ER%20ADJ%20%2833%29%29%3AEXPCITE%20%20%20%20%20%20%20>
- h. Title 44 U.S.C., Chapter 35, “Coordination of Federal Information Policy,”
<http://uscode.house.gov/usecode-egi/fastweb.exe?getdoc+useview+t43t44+1780+41++%28%29%20%20AND%20%28%2844%29%20ADJ%20USC%29%3ACITE%20%20AND%20%28CHAPT ER%20ADJ%20%2835%29%29%3AEXPCITE%20%20%20%20%20%20%20>
Office of Management and Budget Circular Number A-11, “Preparation, Submission, and Execution of the Budget,” Sections 31.8, 53 and Part 7,
<http://www.whitehouse.gov/omb/circulars/a11/04toc.html>.
- i. Office of Management and Budget Circular Number A-130, “Management of Federal Information Resources—,”
<http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>.
- j. E-Government Act of 2002 ([Public Law (P.L.) 107-347, 44 U.S.C. Ch 36]),
<http://uscode.house.gov/download/pls/44C36.txt>.
- k. National Nuclear Security Administration Act (Title XXXII of P.L. 106-65),
http://www.nnsa.doe.gov/docs/2004-03-11-Title_XXXII.pdf.
- l. Paperwork Reduction Act, (544 U.S.C. 43203501 *et seq.*),
http://www.archives.gov/federal_register/public_laws/paperwork_reduction_act/3501.html, <http://uscode.house.gov/download/pls/05C5.txt>
- m. Privacy Act, ([5 U.S.C. 552 a (m)]),
<http://uscode.house.gov/download/pls/05C5.txt>.
- n. Freedom of Information Act (FOIA), ([5 U.S.C. 552 (g)]),
<http://uscode.house.gov/download/pls/05C5.txt>.
- o. National Archives & Records Administration Publication, “Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications,”
http://www.archives.gov/records_management/policy_and_guidance/cpic_guidance.html.
- p. Department of Energy Acquisition Regulation, Part 970—DOE Management and Operating Contracts.;
<http://farsite.hill.af.mil/oteci/Cgiwrap.bat?ACTION=Highlight&QUERY=%39>

~~[%37%30%2E%30%34%30%34&OP=and&DB=14&SORTBY=%54%49%54%4C%45&SUBSET=SUBSET&FROM=1&SIZE=50&ITEM=2.](#)~~

- (1) 48 CFR 970.5204-3, "Access to and Ownership of Records,"
http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5204-3.htm.
 - (2) 48 CFR 970.5232-3, "Accounts, Records, and Inspection,"
http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5232-3.htm.
 - (3) 48 CFR 970.0404, "Safeguarding Classified Information,"
http://www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html.
 - (4) 48 CFR 970.0407, "Contractor Records Retention,"
http://www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html.
 - q. DOE Reference Book for Contract Administrators (Chapter 9),
<http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/ReferenceBookforContractAdministrators?OpenDocument>.
 - r. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules, <http://cio.doe.gov/RBManagement/Records/dissched.htm>.
 - s. Records management section of the DOE Chief Information Officer Web site, <http://cio.doe.gov/RBManagement/Records/records.html>.
 - t. DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000,
<http://www.eh.doe.gov/techstds/standard/std4001/std400100.pdf>.
8. CONTACT. Questions concerning this Order should be addressed to the Departmental Records Officer, HQ Records Management Division, at 301-903-3455.

SAMUEL W. BODMAN
Secretary of Energy

**~~PRIMARY-DOE ORGANIZATION~~SELEMENTS, AND BY AGREEMENT
THE NATIONAL NUCLEAR SECURITY ADMINISTRATION,
TO WHICH DOE O 243.X IS APPLICABLE**

Office of the Secretary
Departmental Representative to the Defense Nuclear Facilities Safety Board
Energy Information Administration
~~National Nuclear Security Administration~~
Office of the Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Office of Economic Impact and Diversity
Office of Electricity and Energy Assurance-~~Transmission and Distribution~~
~~Office of Energy Assurance~~
Office of Energy Efficiency and Renewable Energy
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
~~Office of Independent Oversight and Performance Assurance~~
Office of Inspector General
Office of Intelligence
Office of Legacy Management
Office of Management, Budget and Evaluation/Chief Financial Officer
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
~~Office of Security~~
Office of Security and Safety Performance Assurance
Secretary of Energy Advisory Board
Bonneville Power Administration
Southeastern Power Administration
Southwestern Power Administration
Western Area Power Administration

CONTRACTOR REQUIREMENTS DOCUMENT
DOE O 243.X, *RECORDS MANAGEMENT PROGRAM*

This Contractor Requirements Document (CRD) establishes the requirements for Department of Energy (DOE) and National Nuclear Security Administration contractors who create, use, maintain, receive, ~~or disseminate, or dispose of~~ DOE records in connection with the performance of DOE-funded tasks or activities. Contractors must comply with the requirements listed in the CRD to the extent set forth in their contracts.

Regardless of the performer of the work, ~~thea~~ contractor ~~is responsible for complying with the requirements of this Contractors Requirements Document (CRD). incorporated into its contract is responsible for compliance with the requirements of the CRD.~~ The contractor ~~also~~ is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure the contractor's compliance with the requirements. ~~In doing so, the contractor must not unnecessarily or imprudently flow down requirements to subcontractors. That is, the contractor will both ensure that it and its subcontractors comply with the requirements of this CRD and incur only those costs that would be incurred by a prudent person in the conduct of competitive business.~~

~~As directed by the contracting officer, the contractor must do the following.~~

~~All DOE contractors with this CRD included in their contracts must comply with the following requirements.~~

1. Create adequate and proper documentation ~~as required by~~for the contract ~~per contract~~, industry, and/or government requirements.
2. Meet ~~the following requirements must be met~~ to ensure a DOE records management program that meets the objectives of this Order.
 - a. Implement a records management program in conformance with the requirements for managing records in all formats, including early capture and control throughout their life cycles, ~~including~~.
 - (1) Electronically formatted records will be maintained in an approved electronic records management application meeting the requirements of DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000.
 - (2) E-mail records will be managed along with their metadata, including a listing of the recipients and time of receipt, if available.
 - (3) Electronic systems, such as instant messaging, that are not regularly backed up and controlled should not be used for conducting official Departmental business.

- (4) Until such time as an electronic records management system is available and implemented, electronic records ~~shall~~ will be printed and retained as paper files.
 - b. Create and maintain current file plans/indexes that describe all categories of records created, received, and maintained by personnel in the course of their official duties.
 - c. Preserve and disposition records in accordance with National Archives and Records Administration (NARA)--approved records disposition schedules, as posted on the DOE Office of the Chief Information Officer (OCIO) Records Management Web pages (<http://cio.doe.gov/RBManagement/Records/records.html>).
 - d. Preserve records placed under a destruction moratorium (freeze) as necessary to support audits, court cases, Freedom of Information Act FOIA-appeals, or similar obligations.
 - e. Request disposition authority from NARA, through the Departmental Records Officer, for all unscheduled records.
 - f. Store records in a manner that meets the requirements of 36 CFR 1228, Subpart K. Unscheduled records are not to be sent off-site for storage at either NARA or commercial facilities.
 - g. Review Capital Planning and Investment Control (CPIC) proposals and information architecture plans for electronic records management provisions.
 - h. Conduct internal evaluations of records management practices and programs, including the economy of the operation, at least every 3 years.
 - i. Ensure records management program training for all personnel with records management responsibilities on a regular basis.
 - j. Identify vital records and preserve them in a manner that ensures their currency and survivability in the event of a catastrophic event as identified in the DOE Emergency Operation Guide (see reference ~~section 7-a~~).
 - k. Ensure the site exit process includes a requirement for the transfer of custodianship of Federal records to another employee or a records liaison officer when employees leave on a permanent or long-term basis.
- ~~2.3. Establish and/or maintain a records management program that provides effective controls over the creation, receipt, maintenance, use, dissemination, and/or disposition of all DOE records.~~
- ~~a. Establish a contractor point of contact for records management issues and direction.~~

~~b.Ensure contractor owned records are distinguished from DOE records maintained by the contractor.~~

~~c.Ensure no DOE record is destroyed or otherwise alienated from DOE or contractor custody unless such action is authorized by a National Archives and Records Administration (NARA) approved records disposition schedule.~~

~~d.Identify records management requirements and develop, issue, and implement a records management program, including policies and procedures for all records, regardless of media, in keeping with the requirements.~~

~~e.Ensure periodic records management program training for all personnel with records management responsibilities, as appropriate.~~

~~f.Create and maintain file plans/indexes that describe all categories of Federal records created, received, and maintained by personnel in the course of their official duties.~~

~~g.Use methods and recording techniques that ensure the protection and preservation of records in accordance with NARA approved records disposition schedules.~~

~~h.Conduct internal evaluations of records management practices and programs at least every 3 years.~~

3. Identify and confirm compliance with additional recordkeeping requirements including environmental, safety, health studies, quality assurance, emergency management, and other mission-related functions.
4. Manage the disposition of Federal records in accordance with NARA-approved records disposition schedules and practices. Request disposition authority from NARA, through the cognizant Records Management Field Officer, the Program Records Official, and the Departmental Records Officer, for all unscheduled records.

5. ~~Use T~~the following standards, schedules, and regulations ~~mustmay be used as guides~~ to implement a records management program that meets the intent of this CRD.

- a. DOE N 150.1B, *Continuity of Operations*, dated 1-14-05,
<https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/150/n1501.pdf>.
- b. DOE O 200.1, *Information Management Program*, dated 9-30-96,
<https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/200/o2001.pdf>.
- c. DOE O 414.1B, *Quality Assurance*, dated 4-29-04,
<http://www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141b.pdf>.
- d. DOE P 450.4, *Safety Management System Policy*, dated 10-15-96,
<http://www.directives.doe.gov/pdfs/doe/doetext/neword/450/p4504.pdf>.

- e. Title 36 CFR, Chapter 12, Subchapter B, “Records Management,”
http://www.archives.gov/about_us/regulations/subchapter_b.html.
- a.f. Title 42 U.S.C. 7158, “Naval Reactor and Military Application Programs,”
<http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t41t42+5423+1++%28%29%20%20AND%20%28%2842%29%20ADJ%20USC%29%3ACITE%20AND%20%28USC%20w%2F10%20%287158%29%29%3ACITE%20%20%20%20%20%20%20%20%20%20%20%20>
- b.g. Title 44 U.S.C., Chapters 21, 29, 31, 33, and 35,
http://uscode.house.gov/download/title_44.php.
- h. Office of Management and Budget Circular Number A-11, “Preparation, Submission, and Execution of the Budget,” Sections 31.8, 53 and Part 7,
<http://www.whitehouse.gov/omb/circulars/a11/04toc.html>.
- i. Office of Management and Budget Circular Number A-130, “Management of Federal Information Resources “
<http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>.
- j. E-Government Act of 2002 (Public Law 107-347, 44 U.S.C. Ch 36),
<http://uscode.house.gov/download/pls/44C36.txt>.
- k. National Nuclear Security Administration Act (Title XXXII of P.L. 106.65),
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- e.l. Paperwork Reduction Act, (5 U.S.C. 1320),
<http://uscode.house.gov/download/pls/05C5.txt>.
- m. Privacy Act, (5 U.S.C. 552 a (m)),
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- n. Freedom of Information Act (FOIA), (5 U.S.C. 552 (g)),
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- o. National Archives & Records Administration Publication, “Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications,”
http://www.archives.gov/records_management/policy_and_guidance/cpic_guidance.html.
- p. Department of Energy Acquisition Regulation, Part 970—DOE Management and Operating Contracts.

- (1) 48 CFR 970.5204-3, "Access to and Ownership of Records,"
http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5204-3.htm..
 - (2) 48 CFR 970.5232-3, "Accounts, Records, and Inspection,"
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 - (3) 48 CFR 970.0404, "Safeguarding Classified Information,"
http://www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html.
 - (4) 48 CFR 970.0407, "Contractor Records Retention,"
http://www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html.
- q. DOE Reference Book for Contract Administrators (Chapter 9),
<http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/ReferenceBookforContractAdministrators?OpenDocument>.
- r. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules, <http://cio.doe.gov/RBManagement/Records/dissched.htm>.
- s. Records management section of the DOE Chief Information Officer Web site, <http://cio.doe.gov/RBManagement/Records/records.html>.
- t. DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000,
<http://www.eh.doe.gov/techstds/standard/std4001/std400100.pdf>.
- ~~a. Title 36 CFR, Chapter 12 Subchapter B, "Records Management."~~
- ~~b. Title 42 U.S.C. 7158, "Naval Reactor and Military Application Programs."~~
- ~~c. Title 44 U.S.C., Chapter 21, "National Archives and Records Administration."~~
- ~~d. Title 44 U.S.C., Chapter 29, "Records Management by the Archivist of the United States and by the Administrator of General Services."~~
- ~~e. Title 44 U.S.C., Chapter 31, "Records Management by Federal Agencies."~~
- ~~f. Title 44 U.S.C., Chapter 33, "Disposal of Records."~~
- ~~g. Title 44 U.S.C., Chapter 35, and "Coordination of Federal Information Policy."~~
- ~~h. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules.~~
- ~~i. DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000.~~

DEFINITIONS

1. ADEQUATE AND PROPER DOCUMENTATION. Record of the conduct of Government business that is complete and accurate to the extent required to document organization, functions, policies, decisions, procedures, and essential transactions and is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by Government activities.
2. APPRAISAL. ~~The p~~Process of determining the value and thus the final disposition of a record series, making them either temporary or permanent.
3. ARCHIVE. (1) Noncurrent records of an organization preserved because of their continuing or enduring value. (2) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency.
4. BIG BUCKET. A National Archives and Records Administration ~~F~~flexible ~~S~~scheduling initiative. The application of appraisal criteria to multiple similar or related groupings of information across one or multiple ~~a~~Agencies to establish a uniform retention period. The “~~B~~big ~~B~~bucket” approach is intended to simplify the assignment of disposition criteria to ~~a~~Agency records.
5. CAPITAL PLANNING AND INVESTMENT CONTROL (CPIC). Process used to develop and provide the basic information required to plan, budget, acquire and manage information technology resources. The CPIC process is defined in OMB Circular A-11, “Preparation, Submission, and Execution of the Budget.”
6. CONTRACTOR ~~-/CORPORATE-OWNED RECORDS~~. Records not identified as Federal records (such as company proprietary information, records unrelated to the work performed under a Federal contract, and other similar records) that thus belong to the contractor. Contractor ~~-/Corporate-owned~~ records are normally explicitly defined in the contract.
7. DEPARTMENTAL RECORDS OFFICER. Person assigned responsibility for overseeing the Department of Energy Records Management Program by the DOE Chief Information Officer or his/her designee.
8. DISPOSITION. Actions taken regarding records no longer needed to conduct regular, current business. ~~of the Agency~~. Title 44 U.S.C. 2901(5) defines records disposition as any activity with respect to—
 - a. disposal of temporary records no longer needed for the conduct of business by destruction or donation to an eligible person or organization outside of Federal custody in accordance with the requirements of 36 CFR 1228,
 - b. transfer of records to Federal agency storage facilities or records centers,

- c. transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation, or
 - d. transfer of records from one Federal agency to any other Federal agency in accordance with the requirements of 36 CFR 1228.
9. ELECTRONIC RECORDS. Information recorded in a form that only a computer can process that satisfies the definition of a record. Electronic records are ~~preferably not necessarily~~ kept in recordkeeping systems but may be created, stored, and managed in any form of electronic information system or application program, ~~such as e-mail or word processing.~~
10. FILE PLAN. Plan identifying the specific types of records maintained, ~~organizational elements having custodial responsibility for them,~~ series descriptions, and disposition authorities (for example, a records inventory and disposition system or other systems used to identify, locate, and retrieve records).
11. METADATA. Data describing stored data; that is, data describing the content, structure, data elements, interrelationships, and other characteristics of records. Also referred to as record profiles or indexing data.
12. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). Agency responsible for appraising, accessioning, preserving, and making available permanent Federal records.
13. NONRECORD MATERIALS. Federally owned informational materials that do not meet the statutory definition of “records” or that have been excluded from coverage by the definition. Extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit are excluded materials.
14. PERMANENT RECORDS. Federal records determined by the National Archives and Records Administration (NARA) to have sufficient value to warrant its preservation in the National Archives. Permanent records include all records accessioned by NARA’s Office of the National Archives and later increments of the same records and records for which the disposition is “permanent” on Standard Form 115, Request for Records Disposition Authority, approved by NARA on or after 5-14-73.
15. PRIMARY DOE ORGANIZATIONS. First-tier organizations at Department of Energy (DOE) Headquarters and in the field, including the National Nuclear Security Administration (NNSA). First-tier organizations at Headquarters include the Secretary, Deputy Secretary, Under Secretary, and Secretarial Officers (Assistant Secretaries and staff office directors). First-tier organizations in the field include managers of the operations offices, managers of the field ~~and site~~ offices, and the administrators of the power marketing administrations. Headquarters organizations are ~~normally~~ located in the Washington, ~~D.C.~~, metropolitan area; field organizations are all DOE sites (excluding

individual duty stations) located outside the Washington metropolitan area.
Requirements pertaining to first-tier organizations will normally be passed through to subordinate organizations.

16. QUALITY ASSURANCE RECORDS. Records created and retained as prescribed under a quality assurance program. These records are controlled under the provisions of an approved procedure and retained as prescribed by the DOE records disposition schedules.
17. RECORDKEEPING SYSTEM. Manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.
18. RECORDS. All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them (44 U.S.C. 3301).
19. RECORDS MANAGEMENT. Planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of Agency operations.
20. SCHEDULE. National Archives and Records Administration-approved authorization for the disposition of Federal records. Also called a records disposition schedule. The DOE records disposition schedules are posted on the DOE Chief Information Officer Records Management Web pages at <http://cio.doe.gov/RBManagement/Records/dissched.htm>.
21. SERIES. File units or documents arranged according to a filing system or kept together because they relate to a particular topic, subject, or function; result from the same activity; document a specific kind of transaction; take a particular physical form; or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a records series.
22. TEMPORARY RECORDS. Records determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant preservation by the National Archives and Records Administration (NARA). This determination may take the form of—
 - a. an Agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority) or
 - b. a general records schedule issued by NARA.

23. VITAL RECORDS. Records essential to the continued functioning or reconstitution of an organization during and after an emergency including those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Vital records are sometimes called essential records. Vital records considerations are part of DOE's ~~emergency management~~ continuation of operations program.